Approved For Release 2002/01/10: CIA-RDP8 90009-2 DD/A Registry

16 MAY 1977

MEMORANDUM FOR: Deputy Director of Central Intelligence

FROM

John F. Blake

Deputy Director for Administration

SUBJECT

Agency Records Proposed

STATINTL

Management Program

REFERENCE

Memo to DDCI from DDA dtd. 9 May 1977;

Subj: Agency Files (DDA 77-2621)

1. All Agency coordinators, with the exception of the Directorate of Intelligence, have concurred in the proposed revision of \_\_\_\_\_\_. In general, the comments and suggestions made by those Agency coordinators who concurred in principle were minor in nature and, where

appropriate, were incorporated in the attached document.

A meeting to resolve differences was held with DDI representatives on 9 May 1977. DDI objections to such program elements as Reports Management, ADP Records Management, and Audiovisual Records Management were withdrawn when it was explained that these elements are prescribed by federal law. The concern of the DDI representatives, which we were unable to resolve, was their objection to establishing centralized control of records management procedures in the DDA, which they apparently felt constitutes an unnecessary departure from traditional decentralized Agency management concepts and would somehow diminish their control over allocation of certain resources within that directorate.

3. As I stated in my memorandum to you dated 9 May 1977, I believe our many recent problems with the Congress and others concerning records and records practices in this Agency provide compelling reasons for us to change our traditional concepts of records management.

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STATINTL Our revision of articulates applicable federal law into Agency regulation and provides for meaningful centralized control of records management procedures with decentralized implementation. I, therefore, request your approval of the STATINTL proposed revision to I

/s/John F. Blake

John F. Blake

Attachment: a/s

Distribution:

Original - DDCI (To be returned to DDA/ISAS/RCB) w/att 1 - DDCI w/att

1 - ER w/att 2 - DDA w/att

1 - ISAS w/att

STATINTL

ORIGINATED BY:

C/ISAS

Date

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STATINTL

### RECORDS AND CORRESPONDENCE



### 1. RECORDS MANAGEMENT

- a. GENERAL. This regulation provides the basic policy and functional framework for the development and execution of the Agency Records Management Program to meet the Director's obligation to establish standards and procedures for efficient and effective records management throughout the Agency. Consistent with the Director's responsibility under the National Security Act of 1947 to protect intelligence sources and methods against unauthorized disclosure, and the implementing language in section 6 of the CIA Act of 1949 exempting the Agency from the mandate of "any other law" that would require "the publication or disclosure of the organization, functions, names, official titles, salaries, or numbers of personnel employed by the Agency," the Agency Records Management Program shall seek to implement the following goals:
  - (1) Accurately and completely document the policies and transactions of the Agency.
  - (2) Control the quantity and quality of records produced by the Agency.
  - (3) Establish and maintain mechanisms of control to prevent the creation of unnecessary or improper records.
  - (4) Simplify the activities, systems, and processes of records creation and of records maintenance and use.
  - (5) Judiciously preserve and dispose of records.
  - (6) Direct continuing attention to records from creation to final disposition to prevent unnecessary paperwork.

### b. DEFINITIONS

(1) Records Management is a significant element of the overall field of management and encompasses

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RECORDS AND CORRESPONDENCE

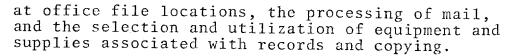
the planning, controlling, directing, organizing, training, promoting, and other managerial activities related to records creation, records maintenance and use, and records disposition.

- (2) Records include all books, papers, maps, photographs, machine readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by the Agency in pursuance of Federal law or in connection with the transaction of Agency business and preserved or appropriate for preservation by the Agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Agency or because of the informational value of the data contained therein. Library and museum material made or acquired and preserved solely for reference or exhibition purposes, extra copies of documents preserved only for convenience of reference, and stocks of publications and of processed documents are not included within the definition of the word.
- (3) Personal papers are those of a private or nonofficial character that are kept in the office of
  an Agency official for his personal convenience
  and pertain only to his personal affairs. Such
  records will be clearly designated by the individual as nonofficial and will at all times be
  filed separately from the official records of the
  office. In cases where private personal correspondence is received which requires the transaction of
  official business, the portion of such correspondence that requires the transacting of official
  business will be extracted and made a part of the
  official files.
- (4) The term "records creation" means the production or reproduction of any record.
- (5) The term "records maintenance and use" means any activity involving the location of records, the storage, retrieval, and handling of records kept

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- (6) The term "records disposition" means any activity with respect to: disposal of temporary records no longer necessary for the conduct of official business by destruction or donation; transfer of records to the Agency Archives or Records Center; transfer to the National Archives of the United States of records determined to have sufficient historical or other value to warrant continued preservation; or, transfer of records to another Federal agency.
- (7) The term "records management study" means an investigation and analysis of any Agency records, or records management practices or systems (whether manual or automated), with a view toward rendering findings and recommendations with respect thereto.
- (8) The term "inspection" means the review of any Agency records or records management practices or systems with respect to effectiveness and compliance with Federal records management laws and making necessary recommendations for correction or improvement of records management.
- provide for effective controls over the creation, maintenance and use, and disposition of all Agency records; develop and encourage the application of standards, procedures, and techniques designed to improve the management of records; assure the maintenance and security of records of permanent value; and facilitate the segregation and disposal of all records of temporary value.
  - (1) Records Creation. Agency records will be complete to the extent required to:
    - (a) Facilitate action by the incumbents and their successors in office in carrying out the assigned administrative and executive purposes of the Agency.

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- (b) Make possible a proper scrutiny by the Congress, other duly authorized agencies of the Government, and other persons properly and directly concerned, of the manner in which Agency business has been discharged.
- (c) Protect the financial, legal, and other rights of the Agency and of persons affected by the Agency's actions.
- (2) Records Maintenance and Use. The Agency Records Management Program will provide for:
  - (a) Effective controls over the maintenance and use of records in the conduct of business.
  - (b) The continued analysis and improvement of such matters as mail handling and routing, records classification and indexing systems, the use of filing equipment and supplies, the reproduction and transportation of records, and work production standards relating thereto, to insure that records are maintained economically and efficiently and in such a manner that their maximum usefulness is attained.
- (3)Records Disposition. Official records of the Agency may not be alienated or destroyed except in accordance with the provisions of Chapter 33, Title 44, United States Code. Requests for authorization to dispose of records must be initiated by submitting records disposal lists or schedules via the Information Systems Analysis Staff of the Directorate of Administration for review by the National Archives and Records Service (NARS). After review by NARS, the Archivist of the United States will determine whether the records are disposable. This review and subsequent approval is mandatory before any Agency records may be destroyed.
  - (a) The Director is responsible for establishing safeguards against the unlawful removal, defacing, alteration, or destruction of

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records. The penalties for the willful and unlawful destruction, damage, or alienation of Federal records are contained in the U.S. Criminal Code and provide that an individual convicted of such action may be fined not more than \$2,000 or imprisoned not more than three years, or both and, in addition, if that individual is also the custodian of such records, he shall forfeit his office and be disqualified from holding any office under the United States. Employees have a legal responsibility to preserve and protect official records and shall inform their records management officer of any actual or threatened unlawful removal, destruction, or loss of such records.

- All Agency records that have been in existence (b) for more than fifty years, unless determined to be available for transfer at an earlier date, and are found by the Archivist of the United States to have sufficient historical or other value to warrant their permanent preservation by the United States Government, will be transferred, under appropriate access controls, to the National Archives of the United States. However, that transfer will not take place if the Director determines and certifies in writing to the Administrator of General Services that specific records must be retained in the custody of the Agency for an additional period incident to the Director's responsibilities and authorities under the National Security Act of 1947 and the CIA Act of 1949.
- (c) Emergency destruction of records outside the territorial limits of the United States is authorized whenever, during a state of war between the United States and any other nation or when hostile action by a foreign power or entity appears imminent, the Director determines that retention of such records would be prejudicial to the interest of the United States.

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Records of the Agency shall not be trans-(d) ferred to the custody of another executive agency until such proposed transfer has been coordinated with the Agency RMO. He shall obtain the prior written approval of the Director and the National Archives and Records Service before the transfer is made. Transfers to Federal Records Centers or the National Archives Building, loans of records for official use, and transfers required by statute, Executive Order, or Presidential reorganization plan, or by specific determinations made thereunder, do not require prior written approval by NARS, but must be coordinated with the Agency RMO and approved by the Director.

### d. RESPONSIBILITIES

- (1) The Director is responsible for efficient and effective records management throughout the Agency. He is responsible for creating and preserving records containing adequate and proper documentation of the organization, functions, policies, decisions, procedures, and essential transactions of the Agency. In addition, he is responsible for establishing and maintaining an active, continuing program for the economical and efficient management of records.
- (2) On behalf of the Director, the Deputy Director for Administration (DDA) is delegated the responsibility for developing the Agency Records Management Program and establishing the standards, procedures, and guidelines necessary for its implementation by the Deputy Directors, the Heads of Independent Offices, and Operating Officials.
- (3) The Chief, Information Systems Analysis Staff shall serve as the Agency Records Management Officer (RMO) and shall, on behalf of the DDA:
  - (a) Provide staff guidance and assistance to each directorate and independent office with respect to records creation, records maintenance and use, and records disposition.

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- (b) Develop and publish, in appropriate Agency regulatory issuances, detailed regulations and procedures for implementing the Agency Records Management Program.
- (c) Perform periodic inspections of Agency records management practices and procedures to determine compliance with the Agency Records Management Program and to evaluate its effectiveness.
- (d) Inform the DDA in writing of any provisions of this regulation that have been or are being violated, and make recommendations regarding corrective action. Unless corrective measures satisfactory to the DDA are instituted within a reasonable time, the DDA shall submit a written report thereon to the Director.
- (e) Conduct research for the improvement of Agency records management practices and procedures.
- (f) Serve as the Agency coordinator for records management information and as a central source for reference and training materials on records management.
- (g) Be responsible for developing, in conjunction with the Office of Training, an Agency records management training program.
- (h) Disseminate information on technological development in records management.
- (i) Conduct records management studies to establish systems and techniques designed to save time and effort in records management.
- (j) Promote economy and efficiency in the selection and utilization of space, equipment, and supplies for records management.

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- (k) Be responsible for Agency liaison with the National Archives and Records Service and its Office of the Federal Register.
- (1) Be responsible for coordinating both the Agency's Classification Program and the systematic Records Classification Review Program as an integral part of the Agency's Records Management Program.
- (4) Each Deputy Director is responsible for implementing the Agency Records Management Program within his directorate. He will appoint a full-time Directorate Records Management Officer, working under the direct supervision of a senior official, to provide staff guidance and assistance to management officials responsible for implementing the program within the directorate.
- (5) Heads of Independent Offices will appoint Records Management Officers to provide staff guidance and assistance to management officials responsible for implementing the Agency Records Management Program within their jurisdiction.
- (6) Directorate Records Management Officers, within their areas of jurisdiction, are the staff officers responsible for:
  - (a) Providing staff guidance and assistance to management officials responsible for implementing the Agency Records Management Program.
  - (b) Coordinating records management activities.
  - (c) Performing periodic records management studies and inspections of records management practices and procedures to determine compliance with the Agency Records Management Program and evaluating the effectiveness of such practices and procedures.
  - (d) Conducting research for the improvement of records management practices and procedures.

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- (e) Serving as sources for reference and training materials on records management.
- (7) Operating Officials will appoint component Records Management Officers who will:
  - (a) Be responsible for providing staff guidance and assistance to component management officials responsible for implementing the provisions of the Agency Records Management Program as it pertains to their particular component.
  - (b) Determine the effectiveness of component records management practices and procedures by conducting appropriate records management studies and periodic inspections, including an annual records inventory.
  - (c) Be responsible for the preparation and maintenance of the component records control schedule.
- (8) Agency management and supervisory personnel at all levels, as part of their overall management responsibilities, must ensure that records management practices and activities within their jurisdiction conform to the standards and procedures established by the Agency Records Management Program and implementing regulations issued pursuant thereto.
- e. PROGRAM ELEMENTS. The Agency Records Management Program is the matrix for all Agency records management activities, practices, and procedures and shall consist of, but not be limited to, the following program responsibilities:
  - (1) Correspondence Management Function. The objectives of correspondence management are to limit correspondence to essential requirements, to improve the quality of necessary correspondence, and to provide for its creation in an economical and efficient manner.
  - Reports Management Function. The objectives of reports management are to improve the quality and economy of administrative reporting to ensure that Agency management officials are provided with the exact information needed in the right place, at

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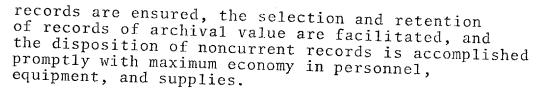
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the right time, and in the format most useful to them for informed decision making. The reports management function is also concerned with interagency reports management.

- forms Management Function. The objectives of forms management are to increase the usefulness of forms through proper design and accurate using procedures; to reduce costs incident to completing, using, and filing forms; and to achieve savings in designing, printing, storing, and distributing forms.
- directives Management Function. The objectives of directives management are to facilitate Agency administration and operations by providing the right employee with the right instructions; by producing instructions that are complete, easily understood, readily accessible, and easily revisable; and by developing and distributing instructions promptly and economically.
- ADP Records Management Function. The objectives of ADP records management are to ensure efficient and economic data processing by ensuring that the creation, maintenance, use, and disposition of ADP records are effectively controlled; maintaining a current file-by-file inventory of machine readable records and related documentation; preserving ADP records through the use of disposition schedules, proper media storage facilities, and maintenance techniques; establishing standards for the thorough documentation of ADP systems, applications, projects, and programs; and, reviewing these recordkeeping practices on a continuing basis to find opportunities for improvement.
- (6) Mail Management Function. The objective of mail management is to provide rapid handling and accurate delivery of mail throughout the Agency at minimum cost.
- (7) Files Management Function. The objectives of files management are to organize Agency files so that needed records can be found rapidly, complete

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- Filing Equipment and Supplies Management Function.
  The objectives of filing equipment and supplies management are to ensure that equipment and supplies necessary and suitable to Agency records operations, procedurally and economically, are available and are put to proper use.
- (9) Word Processing Management Function. The objective of word processing management is to provide for the efficient and effective production of written communications at the lowest possible cost through the combined use of systems management procedures, automated technology, and skilled personnel.
- Audiovisual Records Management Function. (10)objectives of audiovisual records management are to achieve the effective creation, maintenance, use, and disposition of audiovisual and related records by identifying audiovisual and related records to be created and maintained; establishing standards for maintenance and disposition of audiovisual and related records; providing for the necessary level of control for secure storage and preservation of audiovisual records; and reviewing audiovisual recordkeeping practices on a continuing basis to improve procedures. Audiovisual records include program and information motion pictures, still pictures, sound recordings, video recordings, and related documentation.
- Records Disposition Management Function. The objectives of records disposition management are to classify records as having either temporary or permanent value; to retain as current records (in office space and equipment) only the minimum records consistent with efficient operation; to remove to the Agency Records Center those records

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which cannot be disposed of immediately but which need not be maintained in more expensive office space and equipment; to dispose, after the lapse of specified and approved retention periods, of those records not having sufficient value to justify their further retention; and, to develop and maintain a continuing records scheduling program consisting of the following basic elements:

- (a) The taking of a complete inventory of the records in the custody of the Agency.
- (b) The formulation of policy as to the disposition of each type or series of records and its statement in the form of a records control schedule.
- (c) The application of the records control schedule to effect the elimination or removal of records.
- (d) The identification and selection of permanent records for preservation.
- Vital Records Management Function. The objectives of vital records management are to provide guidance on the appraisal, selection, preservation, arrangement, reference, and storage of emergency operating records and rights and interest records and to ensure that such records are identified and deposited in the Agency's Vital Records Depository or other designated area.
- Classification/Declassification of National Security
  Information Function. The objectives of the
  classification/declassification of national security
  information are to ensure compliance with the
  provisions of Executive Order 11652, the implementing
  National Security Council Directive of 17 May 1972,
  and in order to prevent unnecessary
  classification or over- or under-classification of
  national security information and to maintain a
  continuing, active program for the review of all
  classified material to determine whether it may be
  downgraded or declassified and, if appropriate,
  offered to the National Archives for preservation.

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- Micrographics Management Function. The objective of micrographics management is to promote the widest possible use of microforms to improve the efficiency and effectiveness of information handling and data storage and retrieval by saving space and filing equipment; reducing records to a uniform size for filing and searching; providing less-expensive duplicate copies of records for multiple users, including copies for vital records and archival storage; providing an economical way to distribute copies of records to many users at different locations; and providing, through mechanization, the capability of manipulating large volumes of information.
- (15) Copy Management Function. The objectives of copy management are to establish controls over the use of the systems and equipment needed to effectively and economically create copies of recorded information essential for the current operation and future reference requirements of the Agency and to avoid creating and disseminating unnecessary duplicates of such recorded information.
- (16) Agency Records Center Activities. The objectives of the Agency Records Center operation are to provide for the storage, servicing, security, and processing of records which need to be preserved for varying periods of time but which are not active enough to justify being retained in more expensive office equipment or space.
- Agency Archives Activities. The objectives of the Agency Archives operation are to provide a repository for noncurrent Agency Records determined by the Archivist of the United States to have sufficient historical or other value to warrant continued preservation by the U.S. Government until such time as they may be made available for transfer to the National Archives of the United States under the provisions of paragraph b(3)(a) above; to prepare and publish inventories, indices, cata-

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logues, and other aids or guides to facilitate the use of such records and materials; to provide prompt reference service; and to ensure that appropriate access restrictions placed upon such records and materials are observed.

E. H. Knoche Deputy Director of Central Intelligence Approved For Release 2002/01/10: CIA-RDP80-004734000600090009-2

9 MAY 1977

MEMORANDUM FOR: Deputy Director of Central Intelligence

FROM

John F. Blake

Deputy Director for Administration

SUBJECT

Agency Files

You will recall that at a recent morning meeting letter to the Director, there was following the considerable discussion relating to Agency files and their maintenance. At the conclusion of this discussion, you asked me for a paper which spoke to this subject and which would address itself, additionally, to the question of the integrity of the files that we currently maintain.

- 2. Attached is a paper such as you requested which has been prepared by the Information Systems Analysis Staff of the DDA. I believe two points are obvious from a review of this paper which are very worthy of serious consideration. They are:
  - There has been an Agency tradition of decentralized file maintenance.
  - Given our present systems, the integrity of our files and their proper utilization depends to a large extent on the dedication and professionalism of the individual custodians of those files.
- I believe it is becoming increasingly obvious that if we are to make significant improvements in our systems of record and the proper use thereof, we must establish centralized policies and mechanisms for the implementation of these policies. We have recently recommended to you and received your approval of a centralized declassification I believe this is but one of many recommendations which we will make in the immediate future for changes from our traditional ways in the field of records management. am hopeful that we will be able to present these recommendations in such a manner that you will agree with us that they

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warrant your continuing support. Centralized control of procedures is not a course of action which lends itself to overwhelming support from Agency components. However, I am convinced, as a result of our experiences of the last two years, that Agency-wide standardization and monitoring of records systems and management is essential.

Is! John F. Blake

John F. Blake

Attachment: a/s

STATINAL/DDA: ydc (6 May 77)

Distribution:

Original - Addressee

1 - ER w/att

1 - ISAS w/att
DDA Subject w/att

1 - DDA Chrono

1 - JFB Chrono

1 - HGB Chrono

6 May 1977

#### AGENCY FILES

- 1. The Agency does not have a single, centralized filing system. Agency files reflect the diverse functions they document and support, and filing operations are managed along the same decentralized lines as other Agency operations. The Agency Records Management Officer (Chief, Information Systems Analysis Staff, (ISAS) DDA), is responsible for the general management of Agency records. Each of the four directorates has a Directorate Records Management Officer, who serves as the link between ISAS and the component records management officers, and is responsible for management of records and files throughout the directorate. The independent offices have records management officers performing similar functions.
- 2. Although ISAS publishes a Subject Filing Handbook and provides training in general subject filing systems, the day-to-day filing operations of the Agency are the responsibility of the custodian of each series of records, in conjunction with the component records management officer. Files are usually established to serve the needs of the employees performing a particular function. The filing system that best serves that function may be subjective, numeric, subject-numeric, terminal digit, or otherwise arranged. The files may be established informally, as analyst's reference files and working files, or formally, as official files. Records may move from working files to official files at various stages in the process of project completion or report preparation.
- 3. At some point, a decision must be made on just which files are official and on how long and where they are to be maintained. These decisions are made by establishing records control schedules covering all series of records in the Agency including paper, film, and magnetic records. Records control schedules are required in all agencies by federal law and under the law, the Archivist of the United States must approve these schedules. The Agency, in coordination with the National Archives and Records Service (NARS), has developed approved procedures for submitting schedules to the Archivist in a manner that protects sources and methods.

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- 4. NARS has recently combined their files maintenance and records disposition functions. Independently, the Agency has been working along the same lines. Agency records managers are developing procedures for identifying files, as soon as they are created, with the item in the records control schedule that provides instructions for their ultimate disposition. This process will eliminate the problem of trying to appraise the value of a file years after the purpose for its creation has passed.
- 5. A primary objective in scheduling Agency records is to identify the "record copy" of a particular record. The record copy is the copy that is maintained in accordance with the primary administrative, fiscal, legal, and historical retention requirements specified in the records control schedule. In identifying record copies, there are two basic types of files: general and specialized.
  - a. General files--such as personnel, training, and supply files--are found in most offices, in forms such as soft files and requisition files. In most cases the official record file is maintained in the DDA office charged with the related function. Thus, the DDA office's files must be maintained in accordance with legal requirements while all other offices may dispose of their copies when no longer needed for current operations. General files are covered by records schedule instructions based on government-wide General Records Schedules.
  - b. Specialized files--such as imagery analysis and radio frequency files--are maintained in a limited number of offices, or perhaps only one. These file series must be identified in greater detail in the records schedule, and disposition of the record copy is directly related to the function it serves in the office of primary interest.
- 6. Access to Agency files is generally based on the "need-to-know" principal. This is particularly true with sources and methods information and with special compartmented information. It is also the case with personnel information, especially since passage of the Privacy Act of

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- 1974. Information access controls are part of the general office procedures in each component and are designed to provide employees with only that sensitive information they need to perform their duties.
- 7. In addition to management of records by custodians and Agency records management officers, approval of schedules by NARS, and "need-to-know" access requirements, there are further controls on Agency files. Before disposing of records that have reached their scheduled destruction date, a final determination must be made, in conjunction with the Office of General Counsel, that the records are not related to actual or pending litigation, to matters under investigation by the Department of Justice, or to pending Freedom of Information Act or Privacy Act requests to the Agency. Finally, the Senate Select Committee on Intelligence is currently establishing procedures for reviewing selected Agency records before they are destroyed.
- 8. As described above, Agency files are decentralized, but are subject to central controls, both internal and external. Although a standardized filing system is not appropriate for the Agency's diverse records, a more comprehensive approach to filing is desirable. The current process of scheduling all Agency records and tying them directly to the functions they serve provides the basis for such an approach.
- 9. The Agency is also in the process of organizing a 30-Year Records Review Program in response to the instructions set forth in Executive Order 11652. This Executive Order requires that all permanent, classified records should be systematically reviewed by their thirtieth year and either:
  - a. Declassified and offered to NARS for permanent retention; or
  - b. Determined to require continued classification which necessitates certification in writing by the Director of CIA. This certification authority may not be delegated. Classification may be retained or extended past the 30 year time limit only if declassification would:
    - (1) effect national security; or
    - (2) place an individual in immediate personal jeopardy.

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A new branch under ISAS, the Records Review Branch (RRB), has been approved which will conduct a centralized 30-Year Records Review Program for the Agency. It is expected that the RRB will initially require a staff of some 40 full-time employees in order to review the tremendous quantity of classified records that have been produced by the CIA.

Given a system as large and complex as the one with which we are dealing, the opportunity for improper manipulation of information will always exist. what filing systems we use or what controls are applied, the integrity of the Agency's records rests ultimately with the integrity of each employee using them. We believe that the Agency's overall track record in this regard has been relatively good, but we also recognize that improvements must be made in our current systems to further reduce opportunities for improper manipulation of file material by individual employees. Recent developments in the Agency's public responsibilities relating to Freedom of Information, Privacy, and Executive and Congressional oversight have served to highlight the importance of proper Agency filing practices. We believe that the increasing awareness of this situation among employees at all levels provides the environment necessary for establishing improved records management procedures throughout the Agency.